



PATENT APPLICATION
Docket No: 14321.60

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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| In re application of | |) |
| | |) |
| | Takayuki Mizuno et al. |) |
| | |) |
| Serial No.: | 10/727,171 |) Art Unit |
| | |) 3663 |
| Confirmation No.: | 5976 |) |
| | |) |
| Filed: | December 3, 2003 |) |
| | |) |
| For: | OPTICAL MULTI/DEMULTIPLEXING |) |
| | CIRCUIT EQUIPPED WITH PHASE |) |
| | GENERATING DEVICE |) |

CERTIFICATE OF DEPOSIT UNDER 37 C.F.R. § 1.8

I hereby certify that the following documents are being deposited with the United States Postal Service as First Class Mail, postage prepaid, in an envelope addressed to: Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450, on the 30th day of March 2004.

- Transmittal for Information Disclosure Statement (3 pages)
- Information Disclosure Statement (2 pages)
- Form PTO-1449 listing 13 references (3 pages)
- A copy of 12 of the references list on the Form PTO-1449
- Postcard

Respectfully submitted,

DANA L. TANGREN
Attorney for Applicant
Registration No. 37,246
Customer No. 022913

PIPE JC87 306
APR 2 2004
PATENT & TRADEMARK OFFICE

A. Additional Materials Required Due to Content of Information Disclosure Statement

Transmitted are the following documents in addition to the Information Disclosure Statement as required variously under 37 C.F.R. § 1.98:

- ☒ Form PTO-1449 listing 13 references submitted for consideration.
- ☒ Copies of 12 of the references listed on the Form PTO-1449.
- ☐ English translations of ____ (____) of the references listed on the Form PTO-1449 which are not in the English language.
- ☐ Copies of the following documents from the prosecution of a previous, related application:
 - ☐ Form PTO-1449 AND INFORMATION DISCLOSURE STATEMENT; and
 - ☐ Form PTO-892

B. Additional Materials Required Due to Timing of Filing of Information Disclosure Statement

The transmitted Information Disclosure Statement is being filed within one (1) of the following four (4) time periods:

- I. ☒ Prior to the later of either three (3) months following the filing date or the mailing of a first Office Action. Accordingly, no materials other than those listed above are enclosed.
- II. ☐ Following the latter of either three (3) months following the filing date or the mailing of a first Office Action, but before the mailing of a final Office Action or a Notice of Allowance. Accordingly, to secure consideration thereof, one (1) of the following is also enclosed:
 - ☐ Promptness Certification; or
 - ☐ Check No. _____ in the amount of \$____ constituting the submission fee set forth in 37 C.F.R. § 1.17(p).
- III. ☐ After the mailing of a Notice of Allowance, but before payment of the Issue Fee. Accordingly, in order to secure consideration thereof, each of the following are also enclosed:
 - ☐ Promptness Certificate;
 - ☐ Petition for Consideration; and

___ Check No. in the amount of \$ ___ constituting the petition fee set forth in 37 C.F.R. § 1.17(i)(1).

IV. ___ After payment of the Issue Fee. Accordingly, in order to secure consideration thereof, each of the following are also enclosed:

___ Petition to Withdraw from Issue; and

___ Check No. ___ in the amount of \$ ___ constituting the petition fee set forth in 37 C.F.R. § 1.17(i)(1).

C. Fees

The Commissioner is hereby authorized to charge payment of or any deficiency in the following fees associated with this communication, or to credit any overpayment thereof, to Deposit Account No. 23-3178. A duplicate copy of this letter is enclosed.

X Any fee required in relation to filing of this letter or any documents transmitted therewith.

___ The submission fee set forth in 37 C.F.R. § 1.17(p) in the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that any Promptness Certificate submitted meets the requirements of 37 C.F.R. § 1.97(e).

___ The submission fee set forth in 37 C.F.R. § 1.17(p).

___ The petition fee set forth in 37 C.F.R. § 1.17(i)(1).

Dated this 30th day of March 2004.

Respectfully submitted,



DANA L. TANGREN
Attorney for Applicant
Registration No. 37,246
Customer No. 022913

DLT:dfdww
Enclosures
DFW0000009869V001

Applicant: Takayuki Mizuno et al.

Confirmation No.: 5976

Serial No.: 10/727,171

Att'y Docket No.: 14321.60

Filing Date: December 3, 2003

Group: 3663

For: OPTICAL MULTI/DEMULTIPLEXING CIRCUIT EQUIPPED WITH PHASE
GENERATING DEVICEINFORMATION DISCLOSURE CITATIONS MADE BY APPLICANTU.S. Patent Documents

| Examiner Initial* | Document Number | Issue Date | Name |
|----------------------|--------------------|---------------|---------|
| _____ 1 | 5,488,680 | 01/30/1996 | Dragone |

Foreign Patent Documents

| Examiner Initial* | Document Number | Publication Date | Country or Patent Office | Translation |
|----------------------|--------------------|---------------------|-----------------------------|-------------|
| _____ 2 | 11-109147 | 04/23/1999 | Japan | No |

Other Documents

(including author, title, pertinent pages, etc.)

Examiner
Initial*

- | | |
|---------|--|
| _____ 3 | M. Oguma et al., <i>Passband-Width Broadening Design for WDM Filter with Lattice-Form Interleave Filter and Arrayed-Waveguide Gratings</i> , IEEE Photonics Technology Letters, Vol. 14, No. 3, March 2002, pp. 328-330. |
| _____ 4 | J. De Merlier et al., <i>All-Optical 2R Regeneration Based on Integrated Asymmetric Mach-Zehnder Interferometer Incorporating MMI-SOA</i> , Electronics Letters, Vol. 38, No. 5, February 28, 2002, pp. 238-239. |
| _____ 5 | Y. Hashizume et al., <i>Integrated Polarisation Beam Splitter Using Waveguide Birefringence Dependence on Waveguide Core Width</i> , Electronics Letters, Vol. 37, No. 25, December 6, 2001, pp. 1517-1518. |

Examiner:

Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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- _____ 6 K. Suzuki et al., *PLC-based Dynamic Gain Equaliser Consisting of Integrated Mach-Zehnder Interferometers with C- and L-band Equalising Range*, Electronics Letters, Vol. 38, No. 18, August 29, 2002, pp. 1030-1031.
- _____ 7 T. Mizuno et al., *Dispersionless Interleave Filter Based on Transversal Form Optical Filter*, Electronics Letters, Vol. 38, No. 19, September 12, 2002, pp. 1121-1122.
- _____ 8 R. R. Patel, et al., *Multi-mode Fiber Coarse WDM Grating Router Using Broadband Add/Drop Filters with Wavelength Re-Use*, LEOS' 1999 12th Annual Meeting, Vol. 2, November 1999, pp. 826-827.
- _____ 9 K. Okamoto, *Fundamentals of Optical Waveguides*, Academic Press 2000, first published in Japan 1992, pp. 159-161.
- _____ 10 M. Oguma et al., *Flat-Passband Interleave Filter with 200 GHz Channel Spacing Based on Planar Lightwave Circuit-type Lattice Structure*, Electronics Letters, Vol. 36, No. 15, July 20, 2000, pp. 1299-1300.
- _____ 11 C. R. Doerr et al., *Compact and Low-Loss Integrated Flat-Top Passband Demux*, European Conference on Optical Communication ECOC, Vol. 6, 2001, pp. 24-25.
- _____ 12 M. Oguma, et al., *Compactly Folded Waveguide-Type Interleave Filter with Stabilized Couplers*, OFC, March 19, 2002, TuK3, pp. 70-72.
- _____ 13 M. Kawachi, *Silica Waveguides on Silicon and their Application on Integrated-Optic Components*, Optical and Quantum Electronics, Vol. 22, 1990, pp. 391-416.

Examiner:

Date Considered:

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References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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Examiner:

Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.
